



Australian Government

PSPREG034 Assess compliance

Release: 1

PSPREG034 Assess compliance

Modification History

Supersedes and is not equivalent to PSPREG005 Assess compliance.

Application

This unit describes the performance outcomes, skills and knowledge required to assess risk, monitor situations, environments and behaviours, and analyse information to assess compliance with legislation and standards.

This unit applies to those working in regulatory roles involving compliance assessment. Those undertaking this unit work independently, performing routine tasks in a range of familiar and unfamiliar contexts.

The skills in this unit must be applied in accordance with Commonwealth and State or Territory legislation, Australian standards and industry codes of practice.

No occupational licensing, certification or specific legislative requirements apply to this unit at the time of publication.

Pre-requisite Unit

Nil

Competency Field

Regulatory

Elements and Performance Criteria

ELEMENTS

Elements describe the essential outcomes

1. Monitor areas under jurisdiction.

PERFORMANCE CRITERIA

Performance criteria describe the performance needed to demonstrate achievement of the element.

- 1.1. Conduct risk assessment analysis to identify and prioritise areas for monitoring and to identify methodology.
- 1.2. Conduct inspections and compliance audits.
- 1.3. Use specialist equipment when required.
- 1.4. Protect the safety of self and others.
- 1.5. Facilitate cooperation with other organisations and jurisdictions.

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| 2. Receive allegation of non-compliance. | <ul style="list-style-type: none">2.1. Record referrals relating to non-compliance.2.2. Respond to possible and potential breaches within applicable time frames.2.3. Assess preliminary information to establish the offence and validate to confirm the need for action.2.4. Address complaints including referral to more senior personnel as required. |
| 3. Determine levels of compliance. | <ul style="list-style-type: none">3.1. Seek assistance to obtain advice on methodology and measures to prevent gaps occurring in evidence collection.3.2. Select evidence collection methodology according to the purpose, situation and operational guidelines.3.3. Collect, analyse and secure information including samples.3.4. Ensure information is relevant and sufficient for the purpose identified.3.5. Assess against the requirements of the legislation and identify and document the level(s) of compliance.3.6. Determine further action consistent with the level(s) of compliance and record or report according to organisation procedures. |

Foundation Skills

Foundation skills essential to performance in this unit, but not explicit in the performance criteria are listed here, along with a brief context statement.

SKILLS

DESCRIPTION

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|-------------------------------|---|
| Reading skills to: | <ul style="list-style-type: none">• interpret and apply complex information from legislation. |
| Oral communication skills to: | <ul style="list-style-type: none">• use questioning and negotiation in sometimes difficult situations. |
| Numeracy skills to: | <ul style="list-style-type: none">• analyse, record and report mathematical data to support decisions relating to compliance. |
| Technology skills to: | <ul style="list-style-type: none">• use information technology for data analysis, recording and reporting. |

Unit Mapping Information

Supersedes and is not equivalent to PSPREG005 Assess compliance.

Links

Companion Volume implementation guides are found in VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=bebbece7-ff48-4d2c-8876-405679019623>

Assessment Requirements for PSPREG034 Assess compliance

Modification History

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Performance Evidence

Evidence of the ability to complete tasks outlined in elements and performance criteria of this unit in the context of the job role, and on at least two occasions:

- complete records for the referral of non-compliance and describe the action required
- identify evidence requirements necessary to support a decision taken in the legislative framework and explain the methodology, evidence collected and the resulting strength of the decision.

Knowledge Evidence

Demonstrated knowledge required to complete the tasks outlined in elements and performance criteria of this unit:

- legislation and regulations relating to compliance for area of jurisdiction
- organisational policies, procedures and guidelines, including those related to:
 - recording allegations and complaints
 - secure storage of evidence and information
 - specialist equipment
 - own and other jurisdictions
- risk management in the context of compliance assessment
- application of audit tools
- research and sampling methodologies
- principles of evidence-based decision-making including:
 - nature of evidence
 - significance of methodology used for gathering evidence
 - evidence requirements in assessing compliance.

Assessment Conditions

Skills must be demonstrated in the workplace or in a simulated environment that reflects workplace conditions.

Assessment must ensure access to:

- legislation, and regulations relating to compliance for area of jurisdiction
- organisational policies, procedures and guidelines
- resources and equipment of the working environment.

Assessors must satisfy the Standards for Registered Training Organisations' requirements for assessors.

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